

Docket No. IL-11011Customer No. 24981

Commissioner for Patents  
Alexand

## NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):  
**Stephen P. Vernon, Tiziana C. Bond, Steven W. Bond, Michael Pocha,  
Stefan Hau-Riege**



For (title): **DIRECT-PATTERNED OPTICAL WAVEGUIDES ON AMORPHOUS  
SILICON FILMS**

## 1. Type of Application

☒ This new application is for an original patent.

☐ This new application is a:

☐ Division

☐ Continuation

☐ Continuation-in-part (CIP)

## 2. Benefit of Prior U.S. Application(s) (35 USC 120)

☐ The new application being transmitted claims the benefit of prior  
U.S. application(s).

3. ☐ Benefit under 35 U.S.C. 119(e) of United States provisional application(s) listed  
below: 60/475213 5/30/2003

Application Serial No.

Filing Date

## 4. Papers enclosed which are required for filing Date Under 37 CFR 1.53(b).

14 Pages of specification

7 Pages of claims

1 Pages of abstract

4 Sheets of drawings

☒ formal

## 5. Additional papers enclosed

☐ Preliminary Amendment

☐ Information Disclosure Statement

☐ Form PTO-1449

6. Declaration or oath

- ☒ Enclosed and executed by
  - ☒ Inventors (partial signatures)
  - ☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43
- ☐ Not Enclosed

7. Assignment

- ☒ An assignment of the invention to The Regents of the University of California.
  - ☐ is attached
  - ☒ will follow

8. Certified Copy

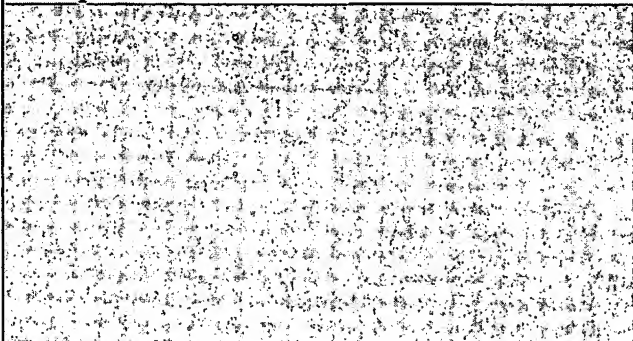
Certified copy(ies) of application(s)

(country)	(application no.)	(filed)
(country)	(application no.)	(filed)

from which priority is claimed

- ☐ is(are) attached.
- ☐ will follow

9. Fee Calculation

CLAIMS AS FILED					
Type of Claim	Number Filed	Included in Basic Fee	Number Extra	Rate	Total Fee
Total Claims	33	-20 =	13	x \$18 =	\$ 234.00
Independent Claims	5	-3 =	2	x \$84 =	\$ 168.00
				Multiple Claims	= \$
				Basic Filing Fee	= \$ 750.00
				Sub-Total	= \$ 1152.00
				Small Entity Filing Fee	= \$ 576.00

10. Small Entity Statement(s)

- ☒ Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 is available upon request.
- ☐ Copy of Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 filed in prior application. Status still proper and desired.

Filing Fee Calculation (50% of regular filing fee) \$ 576.00

11. Fee Payment

- ☐ Not Enclosed
- ☒ Enclosed (See Account No. Below)

Total Basic Filing Fees To Be Paid \$ 576.00

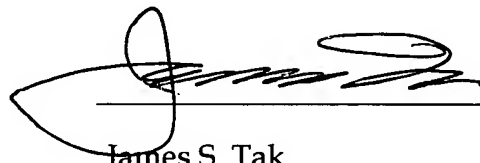
12. Method of Payment of Fees

- ☐ Check in the Amount of \$ \_\_\_\_\_
- ☒ Charge Account No. 12-0695 in the amount of \$ 576.00

A duplicate of this transmittal is attached.

13. Instructions As To Overpayment/Underpayment

- ☒ credit/charge  
Account No. 12-0695
- ☐ refund



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Dated: 9-30-03

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Stephen P. Vernon et al.

Attorney Docket No.: IL-11011

Serial No. :

Art Unit:

Filed :

Examiner:

For : Direct-Patterned Optical Waveguides on Amorphous Silicon Films

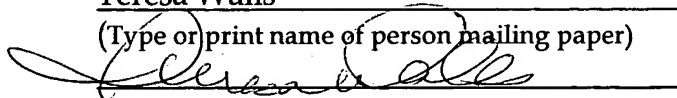
Commissioner for Patents  
Alexandria, VA 22313-1450EXPRESS MAIL CERTIFICATE"Express Mail" label number EV268203510USDate of Deposit 9/30/03I hereby certify that the following *attached*

1. New Application Transmittal (3 pages in duplicate)
2. Application (Specification 14 pages, Claims 7 pages, Abstract 1 page) Combined Declaration Power of Attorney, 3 pages; Four (4) sheets of formal drawings
3. Certificate of Mailing
4. Return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Mail Stop: Patent Application, Assistant Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450

Teresa Walls

(Type or print name of person mailing paper)



(Signature of person mailing paper or fee)